

# Series 99 - Operations Professional Exam Practice Test Questions and Answers

## 1. What is a SAR?

- A) Stock Alert Report
- B) Service Agreement Record
- C) Suspicious activity report
- D) Sales Adjustment Record

## 2. What is the DTCC?

- A) Clearing house
- B) Bank
- C) Investment firm
- D) Brokerage

## 3. Why perform audits?

- A) Train staff
- B) Detect and verify
- C) Avoid taxes
- D) Simplify forms

## 4. Why reconcile trades?

- A) Add bonuses
- B) Check for errors
- C) Adjust interest
- D) Add margin

**Answers: 1-C 2-A 3-B 4-B**

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